



**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

*3/12/03*  
Date of deposit

*Louella Alabardo*  
Louella Alabardo

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Inventor: Anil Suri

Serial No.: 10/077,611

Filed: February 15, 2002

For: METHOD AND SYSTEM FOR THE MANAGEMENT OF  
STRUCTURED COMMODITY TRANSACTIONS AND TRADING  
OF RELATED FINANCIAL PRODUCTS

Docket No.: 103753-203-NP

Group Art Unit: 2161

**RECEIVED**  
MAR 19 2003  
**GROUP 3600**

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Under the provisions of 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicants bring to the attention of the Examiner the documents listed on the attached PTO/SB/08 (substitute for form 1449/PTO). Copies of the listed documents are enclosed.

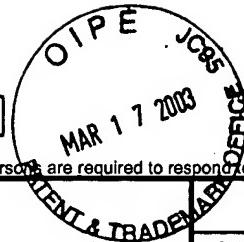
Each item of the information contained in this Information Disclosure Statement was cited in the International Search Report (ISR) issued on January 17, 2003 in the corresponding PCT application no. PCT/US02/10861. A copy of the ISR is enclosed. Applicants respectfully request that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

This Information Disclosure Statement is being filed within three months from the mailing date of the ISR, and therefore no fee is necessary.

Respectfully submitted,

*Eva Tan*  
Eva Tan  
Reg. No. 46,406  
Goodwin Procter LLP  
7 Becker Farm Road  
Roseland, NJ 07068  
(973) 992-1990

Please type a plus sign (+) inside this box →



PTO/SB/08A (08-00)  
Approved for use through 10/31/2008. GMP-2051-2001

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
A collection of information unless it contains a valid OMB control number.

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

**Substitute for form 1449A/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 1 of 1

**C mplete if Kn wn**

<b>Application Number</b>	10/077,611
<b>Filing Date</b>	February 15, 2002
<b>First Named Inventor</b>	Anil Suri
<b>Group Art Unit</b>	2161
<b>Examiner Name</b>	

Sheet 1 of 1

Attorney Docket Number 103753-203-NP

U.S. PATENT DOCUMENTS

**RECEIVED**

MAR 19 2003

# GROUP 3600

## **FOREIGN PATENT DOCUMENTS**

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.